

ACTION PLAN

1986

USAID INDIA

USAID/INDIA ACTION PLAN

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I. A Note on the USAID/India Program:  
Current Situation - Future Trends

A. Introduction

The purpose of this note is to briefly develop the major themes which best organize conceptually the USAID's activities over the past year and to present as coherently as possible the issues against which we have worked and will continue to work over the coming year.

The time period used for this note will be April 1985 to April 1986. Other time periods would have been equally valid, such as the GOI or USG fiscal years, the calendar years, etc.. April to April was selected to provide the most up to date and verifiable data base. It also reflects, to some degree, the natural cycle of activities which, in India, tend to coincide with the seasons.

A note of caution is useful at this starting point. No organizational schema is air tight or satisfying to all. After several false starts, and considering the nature of the audience, our plan is to first develop some observations about the environment in which we operate, both with regard to dynamics and some constants, proceed with an identification of crosscutting issues which best describe some activities we are all engaged in, then develop the past and future for the major sectoral efforts, and conclude with macro-level themes for the future.

This document will not repeat the wealth of detailed description which we have included in our entire or earlier submissions. In addition to the required benchmarks analysis and report, the Mission is providing a narrative description of the current strategy and impacts to date, a detailed analysis of the financial aspects of the present portfolio, the most recent PROMIS reports, the recently developed design and evaluation tracking system, the Annual Implementation Plans (AIPs) for each project, an update on the substance of our progress on a number of studies, and a brief note on organizational changes in the Mission. These and other documents have not been prepared solely for the benefit of those who will be involved in Program Week. The materials represent, for the most part, the corpus of working documents which the Mission uses on a regular basis to monitor its performance.

B. Background: The Working Environment of the USAID in India,  
Dynamics

The changes introduced by the emergence of Prime Minister Rajiv Gandhi accelerated during the current year in a manner for the most part positive for the USAID program. Liberalization has continued with renewed effort to find ways to stimulate foreign collaboration and investment. India's use of international financial markets has also increased. Both developments relate positively to specific USAID programs, the PACT project, our

encouragement of the Housing Guarantee program and the PRE support for the Pune-based Serum Institute. While none of these efforts are large in dollar terms, they nevertheless symbolize a more general willingness of the GOI to discuss alternative ways of doing development business. While one may not see India in the near term as a champion of privatization of public enterprise, there is little doubt that patience is wearing thin with inefficient and money losing parastatals. Prime Minister Gandhi sees no "socialist" virtue in this kind of drain on the national income.

Another major theme is the GOI response to the challenge of India's deteriorating physical resource base. Rajiv Gandhi may have set impossible targets for the reorganized and newly organized boards and ministries responsible for dealing with this massive problem, but it has sent the GOI into an almost frenzied search for solutions. Again, USAID has been well positioned to respond to this urgency with our existing program in social forestry in two states, our just underway collaboration with the World Bank in National Social Forestry and our emerging programs in forestry training, agro-forestry research and educational development in forestry and resource management. The United States, through the USAID, is seen as a leader in this field, and the degree of influence we can have in helping the GOI is analogous to our 1960s role in helping India establish an agricultural university system.

The Prime Minister's interest in science and technology development is well known in the U.S., and has already produced the STI, an impressive array of AID supported research and technology development activity, including PACT, and increased U.S. private sector technology related activity with Indian firms. The GOI's frustration with the apparent lack of output from the large Indian science establishment has prompted the development of "science and technology missions", including inter alia a campaign for new and better oilseeds technology, establishment of a bio-genetic research establishment, agro-forestry and agro-meteorology. Again the USAID has been well positioned to be knowledgeable and responsive in many of these areas of high GOI priority. For example, the Agricultural Research Project has three subactivities under development now which are directly relevant to the GOI's list. These are germ plasm preservation, agro-meteorology, and agro-forestry research. Moreover, USAID already has a major sectoral study of the oilseeds sector underway to determine the basis for our future involvement. In health and family planning we are engaged in supporting contraceptive development research; bio-immunology research is beginning along with a more focused national program of disease identification and control. In energy, our technology development program is entering a new and exciting phase, which if all goes well, should provide a model of linkages between the producers of technology, the science establishment, and the consumer.

It is by now apparent that this government is seeking to improve the overall efficiency of governmental operations. This has become manifest in various forms, including hiring freezes, extremely critical scrutiny of any proposed new organization, and

some increased emphasis on timely and relevant training. For USAID this has been a positive development, in the main, although some would argue that the much delayed decision on the Contraceptive Marketing Board has been a victim of this critical scrutiny. On the other hand, there now appears to be some momentum building up behind our training and institutional development programs such as Development Management and Training, Irrigation Management and Training, and the already discussed developments in the forestry sector.

If not quite on "a roll" with the GOI priorities in all sectors, (e.g. we have not engaged directly in the Ganga Cleanup campaign) we nevertheless have sufficient evidence to indicate that in two areas we are well positioned to influence the direction of GOI programs, i.e., forestry and wasteland development for one, public health, including child survival, for another. While our presence in irrigation is not large in dollar terms (less than one percent of the total GOI effort) we are important in selected areas and selected states. We are doing more than "standing witness" to the need for improvement in water systems management and if the current GOI shift towards a greater concern for improved system management as opposed to design and building continues to accelerate, the USAID is already positioned to move rapidly. In agricultural research and education it is fair to say that we have been "standing witness" over the past year, but the outlines of a more vigorous involvement are emerging with the Agricultural Dean's visit, the exciting potential of the more recent subprojects in agro-meteorology, germ plasm preservation and agro-forestry, and the growing awareness that the best way to be effective is to work against a select set of high priority problems. And, in the science and technology area, we believe we may be inching up on a frontier area over the next decade, i.e. the effective engagement of India's science and enterprise sectors in technology development.

Our enthusiasm for the growing synergism between GOI programs and the USAID's must be tempered by a reminder that there are realities and constants that constrain us and the more progressive elements in the GOI. Many of our readers have worked in India and will be painfully aware of these realities. Nevertheless, we shall mention a few which seem particularly relevant to us as we examine our program.

### C. Indian Realities

First, and perhaps most important, is the incredible "scale" of India. By this we mean its sheer size, in population and geography, its complexity in topography, language, ethnicity, religion, political and administrative structures, and in the admixture of caste and social class. In short, India boggles the mind and our frequent efforts to make sense of it sometimes leads to conceptual errors and oversimplification. It should be added that this is a failing not limited to foreigners alone.

There are several important consequences to this size and complexity. One is inertia. Indian programs are like a "juggernaut", slow to get started, but once moving, difficult to turn or stop no matter what gets crushed on the way. Perhaps the best illustrations are the irrigation departments of the many states and the center. There are something in the order of 280,000 irrigation engineers in India, with forty thousand new ones ingested every year. Bihar alone has eighty thousand of these folks. Think for a minute about what it means to train, organize, manage, retrain and, from time to time, attempt to "reform" these organizations.

Another consequence is the effort to standardize, some might say bureaucratize, ways of doing business. Categories, regulations, prescribed ways of doing things are all part of the effort to control and make predictable the behavior of the highest to the lowest. The fear of anarchy and disintegration is great, but the negative consequences of the control systems are great as well. Systems become rigid, self perpetuating, unresponsive and dysfunctional. Because these structures are so large and contain so many interests they are most difficult to change, again a fact of some consequence for USAID's institutional development efforts. The effort to standardize, while understandable and in some cases absolutely necessary, does reinforce the worst aspects of bureaucracy, and can make change very difficult indeed. Yet, change does occur. Sometimes because the existing institution is so clearly inadequate to the dimensions of the task that interstices open up which allow considerable institutional change. Perhaps the best example of this is in the forestry sector. Or, sometimes a new concept comes along which no single institution can claim, and a Department of Bio-technology is created. Or, a technology emerges which is so clearly defined in relation to consensus goals that no organization can resist getting behind it. We believe that child survival is one such organizing principle. As we shall discuss, an intelligent USAID will try to anticipate and be in a position to move with positive "opportunities".

A third consequence or set of consequences has to do with the nature of the Indian government. Since USAID programs mostly work through the government, in some cases with their tolerance, it is useful to have some appreciation for just what the government is, particularly in terms of what it can and cannot do. Unlike many regimes with which AID is familiar, there is no centralized state in India. The central government is limited by law and practice in many ways. It allocates resources somewhat less rigorously than a U.S. Office of Management and Budget. It does set standards and does run some nationwide activities such as Indian Airlines and the All India Coordinated Research program. But, for most of the USAID programs, it is the states which implement the projects. The center can set standards, it can threaten, cajole, persuade, and sometimes even veto what the state does, but it cannot demand. Agriculture, forestry, and health are all state subjects.

To illustrate, in a small way how this well known fact affects the implementation of USAID projects, an anecdote is in-

order. A recent under secretary in the Ministry of Finance was dragging his feet on the approval of some state nominated training candidates for short courses in the United States. We inquired as to the problem. There was no problem with the nominees. The under secretary was trying to persuade that state to speed up its processing of reimbursement claims, another issue altogether. He felt that his holding up on overseas training would be a sufficient goad to action on another front. He claimed he had very few "levers" to encourage improved performance. In the meantime, the courses were held without the Indian nominees.

Every one will have their own example and again one should not over generalize. The point remains, however, that in most areas of interest to the USAID, approval from the center is not sufficient. The states must be involved. This takes time. It takes travel. It takes multiple levels of dialogue, discussion and interaction. It means making choices as to where and how one works, for each state is different with highly variable conditions and levels of institutional development. For some with previous experience in Africa and Latin America, India is a shock. Rather more like working in a REDSO, they say.

If these aspects of India present formidable and special challenges to the USAID, still others make for exciting development opportunities. India is a democracy with great resiliency in spite of serious longstanding challenges to stability. It is a growing economic power able to produce goods of increasing sophistication and quality. It does enjoy a human capital base which is staggering in its size, frequently of world class quality. Among Indians there is a strong personal warmth towards America, particularly for our science, our technology, our enterprise and our freedom. This has resulted in the continuing preference for "the States" as the country of choice for scientific and technical training. Mention MIT, MSI or the Bell Labs and at least one of your Indian correspondents will have been there, wants to go there, or has a cousin teaching or working there. This quality relationship has endured in spite of the vicissitudes of international politics. It is a strength if the USAID understands and uses it properly, which can far exceed the more conventional flow of financial resources.

D. Major Themes: Where we are This Year, 1985-1986

In an environment characterized by a mixture of excitement and frustration, the USAID began the year with some changes of its own, and with a significant inheritance from previous years.

Perhaps the most significant change was turnover in key staff, a process which continued throughout the year. Newly arrived Science and Technology officers took over the Irrigation portfolio, the Science, Technology and Enterprise program, the Project Design and Monitoring job and the Deputy Director's chair. The Assistant Director for Agriculture left for another Mission.

These personnel changes, followed by others at the technical level, brought with them new enthusiasm and fresh perspectives. Certainly the willingness to try to come to grips with the problem of "implementation" was high. At the same time office directors began to wrestle with the substantive opportunity by changing the names of their units, particularly in the agricultural related programs. Irrigation became Irrigated Agriculture; Agricultural Research became Agricultural Research and Institutional Development, and so on. The germ of greater coherence and integration had been planted, even as the inheritance of previous ideas, designs and enthusiasms was sustained.

Keeping in mind that analysis imposes categories, linearity and hopefully clarity on a kaleidoscope of iterative events, it is nevertheless possible to discern some dominant themes in the USAID's activity along with some minor counterpoint and occasional discordant notes. Keeping in mind also that nothing ever goes away and nothing is really new, we will try to portray levels of energy and effort for both the year just ending and the one just beginning.

Thus, we characterize the current year as one dominated by the major theme of implementation, which may be subdivided into several subthemes. First, we believe we have almost worked off the carry over from the first phase of the USAID program now called the "resource transfer" phase. This includes the last of Rural Electrification Program (REP) and some residual efforts from the even earlier Cooley Loan. We are not ungrateful to the REP, for it did keep expenditures going when everything else was in start up. Second, we are beginning to see the end of what might be called the "Field Level Construction" phase of the program. IRHP will come to an end this year, Gujarat Medium is finished, as will be Rajasthan Medium. While IRHP required extraordinary efforts to meet the standards of Fixed Amount Reimbursement, it is to the Rajasthan Medium that the germ of an idea for the rest of the irrigation portfolio began to emerge. Faced with several subproject non-starters, we were able to negotiate their replacement with substitute projects which met the design requirement our project agreement imposed. As the Office of Irrigated Agriculture turned to the more daunting task of the Maharashtra mediums and minors and the Madhya Pradesh minors, the Rajasthan experience was recalled.

Thus, a second major theme, still relevant to implementation, has been assessment and redesign. Assessments have been done this year in several sectors, including the PL 480-II Oilseeds program with the National Dairy Development Board. As a result of that effort the Mission decided to enter into a major study of the sector, which on the surface seemed to offer a combination of positive opportunities for AID involvement. Another major assessment effort was of the two state level social forestry projects, both done by primarily "in-house" teams and reviewed in a comparative perspective. The learning from these assessments has contributed to our understanding of what social forestry is in



India, and to an appreciation of why some of our designs were faulty, particularly with respect to community management. One immediate consequence is that elements of the Madhya Pradesh Social Forestry project will have to be redesigned.

Driven more by the size of the portfolio and obvious implementation problems, the Office of Irrigated Agriculture began to assess the difficulties of their portfolio in medium and minor irrigation. Drawing on the multi-faceted conclusions of the recently completed Irrigation Sector Assessment, we decided that we would be unable to achieve those project purposes associated with better water management simply because the subprojects with which we were associated would not be completed before the PACD, even with extensions. While this had to do in part with the way our funds were treated as simply part of the overall "in budget" stream of resources, we also concluded that the "beginning to end" concept could not be realized. So the principle borrowed from the Rajasthan experience of association with more mature subprojects was put into place. From the IRHP experience we began to realize that the FAR system of reimbursement was driving our management efforts toward an accounting mentality, and away from a more relevant concern for system improvement and innovation. Thus, the MIT project (with roughly ten percent of the pipeline) was renegotiated to do two things. First, replace slow moving subprojects with ones closer to completion. This would permit us, with the Government of Maharashtra, to focus on on-farm water delivery issues, rather than construction of head works. Second, we moved the entire reimbursement system to a performance based approach, whereby certain benchmarks are established which, when reached and verified, will release major chunks of reimbursement. Thus, we will be able to focus our scarce technical input on the real problems of water management. The process of renegotiation has just begun with Madhya Pradesh minor, but we hope that similar restructuring can take place there. If this succeeds, then we should be able to witness next year both more effective implementation and increased disbursements. Moreover, we will (and already do) place more attention to the system management and training problems, for which IM & T is designed.

A counterpoint to the major theme of implementation has been the somewhat minor theme of design. As with any portfolio beginning to achieve maturity, the natural and sensible effort is to build upon what works, while learning as best one can from what did not. We will build on the IRHP program, for example, though it is unlikely that we will repeat it. Himachal Pradesh attempts to move away from the single minded focus on irrigation departments to foster a working call which will bridge the gap between irrigation and agriculture both in the office and at the project sites.

In the health sector, design efforts gathered momentum in late winter when it became clear that the AID appropriation was going to be favorable to health efforts, especially child survival programs. Although not initially planning to move forward with a major obligation in FY86, because of the very strong positioning the USAID had achieved with the ICDS project, the at-times maligned IRHP project and the just developed Bio-immunology project, as well as expansive networks in the health and social service delivery communities achieved by our health office, the USAID was able to move very quickly and, more importantly on a sound developmental basis, to capture the moment. A massive effort has been made, culminating in a design conference in late February with a PID ready for Washington review right now. While some may see this as a crash effort, in fact it is not. The ability to move quickly when opportunity permits requires deep knowledge, much experience, extensive networks of support and a clear vision. This has come together this year in the health sector, where the USAID program has moved from strategic positioning to the possibility of a full fledged major assault on the problem of child survival in India.

If agriculture has been dominated by implementation and health by exciting conceptualization and design, what of science, technology and enterprise development? A more recent addition to the portfolio, this field was consolidated into a single office under the leadership of Tom Nicaastro. The Office of Technology Development and Enterprise doesn't have the staff of an Office of Irrigated Agriculture or Health. Nor does it have a large portfolio to manage. Its inheritance is the just beginning PACT, the energy projects with DNES and the non-country level activities of Housing Guarantee and PRE loans. On the other hand, TD&E is at the center of two of the four major themes of the current development; liberalization and science and technology development. As such, the TD&E office is both a project office and a staff office. As a project office it is engaged heavily in start up activities involving PACT and design with energy networks. The latter is a unique conceptualization effort as a follow-up to earlier energy projects. It is unique not because of the size in dollars or the special nature of the subject. Rather because for the first time we are starting with a problem defined as the relationship between the science, the technology and the consumer in, almost coincidentally, the energy sector.

What we are striving for is a set of linkages which will be "demand driven", and not limited to one lab (traditional institution building) or one technology. If we succeed in finding a way to link public and private, scientist, engineer and consumer of technology together, we will have a model with a wide range of applications. Are we also looking at the range of play and institutional elements which are preconditions to the kind of synergism that drives our technology development machine in the U.S. It is the failure of India's science and technology establishment to move technology from

the lab to the market place which has resulted in the current criticism. With a more propitious climate for competition, a project of this type seems timely and, if things go well, a potential path-breaker is in the offing.

To summarize, the dominant themes of the current year have been implementation, assessment and redesign. Important toward the end of the year were design and start up efforts.

In addition to these substantive efforts to improve the quality and effectiveness of the program, the USAID has had a major engagement with the problem of process or, as it is more usually described, management.

A high level of management effectiveness is obviously critical to high quality design and implementation. This year the USAID has undertaken a major improvement of our systems, while adhering to two fundamental principles: The first, decentralized delegation of authority and the second, widespread and constant involvement in information sharing, from top to bottom and from office to office. To make this work, it was necessary to revise our functional statements, procedural guidelines and internal organizational structures.

As we learned we found a third principle emerging. This was the principle of simplification. For example, we are establishing a "one stop" contracting center in the office of Project Design. We have moved evaluation from the Program Office to Project Development to link it more closely with the learning process necessary for good project design. We have consolidated data processing support in the Controller's Office which had already developed expertise with the MACS system. We have an outside consulting firm, Price Waterhouse, assisting us with streamlining our clearance processes and improving our functional statements. The Controller's Office has undertaken major vulnerability assessments and the Food for Development Office has established improved systems for monitoring the flow of PL 480 food and commodities. A major analysis of our "pipeline" problem has been completed. Management improvement will continue to be a theme into the next year, but the effort will be less on codification and reform and more on making the systems which are in place as effective as possible.

As we noted before, the process of learning is an iterative one, with each effort at design a reflection of past implementation experiences. And, as we try to "set things right", with our current program we also are alert to new opportunities to do things "better". Thus, the present and the future are very much intermingled. Nevertheless, we can begin to extract some themes from the present which, having seized our attention today, will structure a portion of our activity next year.

E. Where are we Going: The Coming Year

At the project level the themes of implementation, assessment and redesign will continue in irrigated agriculture, research and social forestry. Increasing emphasis will be placed on second generation design, including FRET, a follow on in agricultural research, and a decision on whether to move forward with project ideas which may come out of the current efforts to examine the issue of rainfed agriculture. The oilseeds sector study may yield program opportunities for AID support.

Population control and health will be dominated by start up concerns in the Contraceptive Marketing Board activity. The public health and child survival programs will be coming on line.

In research and technology development, a major sector or problem analysis will be undertaken to provide the conceptual and empirical basis for the Mission's strategy. Meanwhile, work will be ongoing on energy networking and technology center development. The PACT should be in full scale operation. At the other end of the project cycle major subprojects in the Alternative Energy project will come on line and that project will move toward completion.

It is apparent by now that our thinking this year is beginning to produce some results with regard to the conceptual architecture of the Mission at the program level.

F. Three Major Programs

As the reader will note from the Work Plan, we have organized our portfolio into three programs: Agricultural Resource Management, Health Improvement and Population Control, and Research and Technology Development. Each program contains increasing points of coordination, interaction and integration among and between the subsectors which make up the program. In Agricultural Resource Management, for example, linkages between the Himachal Pradesh Hill Areas Development Project and Social Forestry are being explored. The Agricultural Research project has been used to finance the crash program of agricultural forestry training and is exploring the possibility of a subproject to support ICAR water management centers of direct programmatic relevance to the Irrigated Agriculture portfolio. The conceptual linkage between Child Survival, child spacing and population control should be obvious. At the operational level, however, this does not always lead to coordination. With the combined effect of the child survival support programs a direct linkage at the field level between these objectives will be realized.

Finally, the Research and Technology Development program, while still quite new, brings powerful integrative forces to the table. First, the philosophy of this program is to find ways to develop an equation between scientist, technologists and the commercial market place. For a variety of reasons, the Indian private sector has not found it necessary to develop indigenous technology. Transfers of technology from abroad have occurred through licensing arrangements more than through collaborative development appropriate to Indian conditions. On the other hand, large quantities of public resources have been invested in government labs concerned with indigenous technology development. Far too frequently such efforts result only in prototypes, the influence of which on the manufacturer and consumer are minimal. In science it is an overstatement to say that the best Indian science occurs at the University of California Berkeley, Harvard and Chicago. India does have outstanding science establishments such as the Tata Institute for Fundamental Research, the Indian Agricultural Research Institute at Delhi, and others. But, on the whole, there may be some justice in the GOI's concern. The talent is here, the institutions are, for the most part, in place and the need is obvious. Why is the whole less than the sum of the parts? That is the issue to which the R&TD program is addressed. The projects that emerge from this program orientation will be experimental, partial, but "on the right track" solutions to this problem.

Equally exciting, however, is the notion of this program as an "idea" machine relevant to other programs. Science and technology development is as relevant to population and health and agricultural resources management as they are to anything else. The models, strategies and tactics worked out in the research and technology program should be relevant to the other programs as well. For example, the linkage between vaccine production in the private sector and public programs focused on child survival is but one of many potential linkages. In sum, the USAID research and technology program is, properly viewed, a part of our own research and development effort. With the policy interest of the GOI in liberalization (with greater impact of competition) and science and technology development, the momentum is in our favor.

#### G. Strategic Concerns: Defining Problems and Setting Criteria

Conceptual architecture notwithstanding, a strategy must still be developed both within program areas and at the Mission level. Any strategy has to analyze constraints, identify opportunities, and develop standards against which specific actions can be weighed and measured. Finally, strategy has to relate to goals. Fortunately our goals and objectives are clear and widely supported. Once our goals are agreed to and a strategy is developed, a decentralized form of decision making and organization makes the most sense because it releases creativity and innovation to deal with real problems within the overall parameters.

The first aspect of our strategic thinking for the coming year concerns more precise problem definition. Everything is, or can be, a problem. Lack of training is a problem, or too much or too little delegation of authority, or poor planning is identified and so on. The list is endless and anyone attending conferences on development is familiar with the litany. "Solutions" to these problems usually fall under the heading of "institution building" which everyone agrees is a good and useful thing. These problem definitions, however, tend to confuse means with ends, and "solutions" become driven by known technologies for solving them., e.g. training. Without dismissing these improvements as important, too often AID has taken a formulistic approach to solving management problems before analyzing what is needed.

Our approach, therefore, will be to define problems in terms of the gap between functional objectives and actual conditions. In the health area, for example, we define the problem in terms of the alleviation of a particular and well defined human misery: In India far too many babies die. Once that is defined then subordinate problems start to fall in line. What are the causes? Do we have a technology for dealing with them? Do we have a means for delivering that technology? Do we have a way to monitor our solutions? Are the incentive systems which govern the behavior of those tasked with the delivery of the solution consistent with, or perverse to the actual requirements of the solution? All these issues take on a new relevance, indeed a new institutional development relevance, when cast in this light.

In other sectors as well, the USAID is gradually moving toward a "problem solving" strategy. For example, in agricultural research we prefer to ask what are the critical problems in agriculture which should be addressed by Indian science rather than how can the Indian Council for Agricultural Research be improved? The difference is more than semantic, for it signifies a major change in the traditional perspective. This formulation forces us to expand our search for solutions to a range of possible interventions and a range of possible institutions. In the Child Survival program for example, twenty-nine participating agencies are involved.

A second aspect of our emerging strategy is to seek ways to vertically integrate our programs, both in terms of the political entity involved, e.g., local, state or national, and in terms of the technology system appropriate to the problem. For example, in the child survival support program, we focus on demonstrations, innovations and experiments at the local level. At the state level in selected states we address means to achieve more effective delivery of child survival technologies, including targetted training, information systems and improved management systems. At the national level, we support the development of serum manufacture,

acquisition, storage and distribution, monitoring and evaluation and standard setting for those activities relevant to and supportive of child survival. Thus, vertical integration is achieved by strengthening functional linkages from top to bottom through the coordination of all appropriate entities. As we previously discussed in the description of horizontal integration of our program, vertical integration must be driven by a consensus on the problem, by significant expansion of information sharing and coordination, and by the logic of the solution. Next year, in the agricultural resource management portfolio, we will seek ways to achieve similar integration and coherence.

A third dimension of our strategic thinking concerns the breadth of our ambition against the realities of India. The USAID has taken the opportunity of the upcoming Mission Assessment to begin a process of fundamental examination of, in India, where have we been, where are we going and what do we think about what we are doing, as an AID Mission, and as a representative of the potential of the United States. This process involves a number of activities, including commissioned studies, seminars, internally organized impact evaluations on our major portfolios, and a possible mission retreat to help us digest and comprehend the basis for our future programmatic commitments. The program this Mission designs over the next two years will be the portfolio of the USAID in the 1990s. It is imperative that our knowledge and understanding be sound, our ideas and concepts creative, and our designs consistent with the realities and possibilities of India.

Thus, we conclude where we began, with an effort to understand India and our place in it. It has been and will continue to be an exciting and challenging journey. We believe we have made progress and look to the future with enthusiasm.

## II. Overall Program Objectives

AID's approved strategy for India supports India's longstanding development objectives with a program which emphasizes self-sustaining and equitable economic growth. This strategy encompasses a program which is intended to seek:

- improvement of the rural economy primarily through increases in agricultural productivity and rural incomes;
- reduction of child mortality and reduction in fertility;
- relevant application of science and technology to development initiatives; and
- emphasis on the role of individuals, communities and the marketplace for the resolution of poverty.

The strategy includes sectoral programs in agriculture resource management, health and population, and research and technology development.

## III. Sectoral Objectives and Achievements

### A. Agriculture, Resource Management

#### 1. Objectives.

The USAID program in India is intended to contribute to the improvement of the rural economy through increases in agricultural productivity and incomes. The approach focuses on improving the quality of agricultural resource management including water, land and agricultural technology. The current emphasis is on three subsectoral areas: irrigation, forestry, and agricultural research.

The broad programmatic objectives of the sector include the following:

- acceleration and improvement of the productive performance of existing surface irrigation systems.
- strengthening the role, interaction and participation of technical agencies and of the farmers in the operational planning and management of surface irrigation schemes;
- stimulation of private initiative in small surface systems and groundwater development including the conjunctive use of groundwater within surface commands;



- improving the scientific and technical underpinning of social forestry;
- building institutional capacities for the operation, monitoring and evaluation of social forestry programs;
- relieving the human resource constraints to expanded social forestry programs;
- strengthening the capability of the Indian agricultural research system to conduct research on priority problems in key functional scientific areas; conducting actual research in some priority areas.

## 2. Inputs

The Mission portfolio contains several projects arrayed against these objectives. The most recent irrigation projects (Hill Areas Land and Water Development and Irrigation Management and Training) are more clearly focused on institutional, systems strengthening, resource management and participatory issues and approaches than were earlier projects. The Maharashtra and Madhya Pradesh Minor Irrigation Projects are being realigned from an almost pure construction approach to one which better addresses the objectives described above.

Specifically, the focus will be on subprojects which stress actual water delivery, qualitative performance measurement, the identification of a few key models or pilots, and other project related "software" elements. Coincidentally, the 7th Five Year Plan stresses the completion and improved efficiency of existing surface systems in preference to the construction of new ones. Further, the recent change in the title of the Ministry of Irrigation to the Ministry of Water Resources is demonstrative of the evolution in GOI thinking with respect to the management of water resources. Both of these factors point to a potential for increased effectiveness of projects in our irrigation portfolio. New projects are being considered which will focus on carefully tailored live system research and demonstration activities and groundwater development.

In forestry, USAID supports field social forestry programs in six major Indian states, four of them under the new National Social Forestry Project jointly funded with the World Bank. The creation within the past year of a new Ministry of Environment, Forests and Wildlife, the National Wastelands Development Board and the Indian Council of Forestry Research have enhanced the Mission's dialogue both at the Center and in the states. The first direct outcome of this dialogue will be a 15-year action plan for building Indian forestry research, education and training capacities from which will flow the new Forestry Research, Education and Training Project.

The Agricultural Research Project is the primary vehicle for strengthening the capabilities of the Indian agricultural research system. The project will finance up to fourteen discrete scientific activities which are critical to the creation of a self-sustaining agricultural base in India. The key functional components of this effort are research, scientific exchange, and institutional development.

Research on other priority agricultural problems will continue under the Science and Technology Initiative (STI).

### 3. Impact

Achievements against programmatic objectives are difficult to quantify for reasons which largely relate to the structural constraints described in the previous narrative section. Yet it is clearly possible to identify actions which have contributed to the partial achievement of these objectives. In irrigation, forestry and agricultural research these include the following:

- the design criteria and planning procedures advocated for the subprojects in the Maharashtra and Rajasthan Medium Irrigation projects have been adopted on a state-wide basis by those states with implications for their application to other state projects;
- the establishment of Water and Land Management Institutes has occurred in ten states. This reflects an increased commitment of the states for training and the need to better manage irrigation systems. Major long-term human resource development studies and planning activities are being undertaken in Irrigation and Agriculture departments of three states with others to follow;
- conducted training programs, helped establish degree programs, disseminated technical reports, developed training guides and participated in conferences and policy dialogue workshops all of which addressed the themes of improved systems performance and broader interaction among GOI agencies and farmers.
- USAID has stimulated increased involvement of private firms in irrigation development by engaging five private consulting firms in activities of state irrigation departments;
- 2 USAID staff members serving on a high level irrigation policy advisory committee in the GOI Planning Commission;
- USAID staff member appointed to national committee for forestry curriculum development for State Agricultural Universities;

- direct influence on development of forestry curriculum for SAU's based on USAID recommendations. SAU faculty sent to U.S. to study curricula. Subproject started under Agricultural Research umbrella;
- promotion of shift in GOI thinking away from fuel and fodder orientation of social forestry projects to greater emphasis on agricultural productivity, incomes and assets. Shift primarily reflected in National Social Forestry Project;
- in two states have developed social forestry cadre charged with in-village and on-farm forestry development;
- have encouraged, in working with new institutions described above, a shift from the concept that the role of forestry institutions is to mine or police biomass to a concept of managing and developing biomass. Reflected in 7th Five Year Plan and National Social Forestry Project;
- with encouragement/persuasion by USAID, Indian Council of Agricultural Research (ICAR) has expanded its sights for the first time beyond narrower Ministry of Agriculture approach to agricultural problems by working with other GOI institutions in agriculture-related research. Under the Agriculture Research umbrella these include forestry research (Ministry of Environment, Forests and Wildlife), on-farm water management (Ministry of Water Resources) and germplasm preservation (Department of Science and Technology);
- furthered the GOI reassessment of deficiencies in Indian agricultural institutions by sponsoring the agricultural university dean's visit to the U.S.;
- direct collaborative research programs between American and Indian researchers.

## B. Health and Population

### 1. Objectives

USAID's primary objectives in this sector are to reduce child mortality and fertility. These objectives are based on the high infant and child mortality from specific preventable causes including a high birth rate little changed in the past ten years. To the extent that the program can be disaggregated the USAID program focuses on four areas in this sector: health, child survival, population, and PL 480 Title II. The last of these areas, Title II, can be looked at broadly in child survival terms and will henceforth be considered as a component of the Mission's evolving child survival strategy.

The broad programmatic objectives of this sector include the following:

- improving the quality of primary health care delivery in five states;
- expansion of rural health outreach services through channels additional to government services;
- strengthening the epidemiology services of the central and state governments;
- revising policy of GOI with respect to domestic production of pharmaceuticals;
- introducing clinical epidemiology into medical education;
- universal immunization focussing on the first year of life;
- the introduction and practice of ORT by each Indian mother and health provider;
- increased use of contraceptive spacing techniques;
- improved nutritional practices;
- development of new vaccines and diagnostics critically related to child morbidity and mortality

## 2. Inputs

Two projects, the Integrated Rural Health and Population (IRHP) and Private Voluntary Organizations for Health (PVO/H) have, for nearly five years, been attempting to improve the quality of health services in selected areas of India. Experience, particularly with the first of these projects, has led USAID to consider a different approach, one which directs contributions at both national and state levels toward specific interventions to reduce child morbidity and increase the chances of child survival: EPI, ORT, Spacing, and Nutrition.

This approach builds upon a third project with the Ministry of Human Resources Development, Integrated Child Development Services (ICDS) which provides villages level care women to pregnant and lactating women and children under five. Providing nutritional supplements, it coordinates ORT, immunization and other preventive services of the health department. This project has, inter alia, highlighted the importance of utilizing other ministries and agencies to influence health outcomes. The Biomedical Research Support Project is designed to strengthen the public health systems of the central and state governments as well as to introduce an epidemiology capacity to health departments and clinical

epidemiology into medical education. These services are intended to monitor more precisely the morbidity and mortality problems of population with specific reference to child survival. As vaccines play an ever increasing role in children's health, the quality control of these vaccines will be carefully monitored by a National Quality Control Laboratory to be established with the assistance of the U.S. Food and Drug Administration (FDA). These Biomedical Support Services are in the first stages of implementation and include the element of important institutional development based on experience and consultation with leading U.S. public health services institutions.

The Mission is working on a Child Survival Initiative which will have a multi-institutional approach. This initiative includes contributions to EPI and ORT national programs as well as continued innovative association with birth spacing and nutritional programs. Access to national programs will enhance the coverage of AID inputs and create the opportunity to help shape the direction and conduct of these programs. At state levels the training and communication activities for these interventions will receive financial support and technical assistance in order to affect the qualitative delivery of services as well as the orientation of primary health care delivery. A third category of funding will support demonstrations of innovative service delivery, operations research, management information systems and studies of the social/anthropological factors which both constrain and assist in the broad acceptance of these health interventions.

USAID is intensively exploring with CARE the MOHFW and the Ministry of Human Resources Development yet another Child Survival Activity which will strengthen the ICDS Program in eight Indian states. The programming of Title II food resources together with health, nutritional and educational inputs at the village level has enormous potential for child survival impact.

A third design effort is underway to facilitate the development and provision of newer vaccines and diagnostics critically related to child morbidity and mortality. This Bio-immunology and Diagnostics Project is being planned with the new Department of Biotechnology and the Department of Science and Technology with the assistance of the National Institutes of Health. This project, together with the existing Biomedical Research Support Project, form our basic contribution to the Indo-U.S. Vaccine Action Program (VAP). Discussions of additional efforts in research and technology development are underway.

The Family Planning Contraceptive Marketing (FPCM) Project constitutes the Mission's major current effort to reduce fertility. FPCM will attempt to expand usage of reversible methods of birth control through private sector marketing organizations. This project has experienced many problems in start-up because of the GOI's re-examination of its role in family planning programs. A definitive judgement on its prospects will be made before June 1986.

A new Population Research Institutions project is under consideration.

### 3. Impact

Achievements against programmatic objectives in this sector are elusive due, in large part, to the magnitude of the problems addressed relative to the magnitude of AID resources applied against them. Nevertheless, we believe it is possible that training and institutional development activities, particularly under the mature IRHP Project (which will be evaluated in CY 1986) will partially lead to the achievement of these objectives. In this sector these include:

- commitment of GOI to improving quality of primary health care delivery reflected in five-fold increase in funds for this purpose in the Five Year Plan. Can partially credit USAID-GOI dialogue on this issue;
- encouraged the shortening of the time target by five years for achieving universal immunization;
- successfully lobbied for creation of a national oral rehydration therapy program;
- successfully encouraged inclusion of measles immunization into EPI;
- completion of training needs assessment under IRHP which forms the basis in state public health programs for follow-on child survival activities;
- engendered heightened awareness in GOI for parallel system of national public health institutions; GOI looking to U.S. as the model;
- active engagement of U.S. and Indian scientists working together on common research problems;
- engaged non-Ministry of Health institutions in primary health care delivery; model for future engagement of PVO's.

### C. Research and Technology Development

#### 1. Objectives

It is Mission policy to contribute to national development goals through the support of scientific research, technology development and commercialization in such priority areas as agriculture, rural development, population, health and human resources and increasingly in critical areas of industrial

engineering. The Mission works towards these goals through transfer of knowledge and training and through related innovative adaptation of technological concepts applicable to these disciplines.

The broad programmatic objectives of this sector include the following:

- harnessing the Indian capacity for science and technology;
- move increasingly in the direction of scientific research on key development problems;
- enter into relatively new area of technology development;
- engagement of the private sector in research and development and the development of linkages between the private sector and the public science community;
- encouragement of private sector firms to innovate and be competitive technologically.
- to develop Indian capacity for alternative energy resources, taking this capacity to the application stage;

## 2. Inputs

Although science and R&TD cut broadly across the USAID program in India, it is possible to view the approach which governs these activities conceptually as a "sector". The science contributions in the other sectors have been discussed above but include such things as VAP, STI, Agricultural Research and Bioimmunology. The remainder of this section deals primarily with the responsibilities of the Mission's Technology Development and Enterprise (TDE) office. This approach, largely aimed at private sector involvement in R&TD activities where feasible, includes the commercialization of some outputs where initial government participation is either desirable or unavoidable.

For the USAID this is a sector in transition. One project, Technologies for the Rural Poor is coming to a close. Another, the Alternative Energy Resource Development Project, is working in four energy related areas and is now attempting to move from a pure research/demonstration phase to an applications phase. Furthermore the AER project has provided the experimental basis for the development of a new Energy Resources and Enterprise Project (FY 86) which will exploit the R&D potential of alternative energy development in the private sector.

The 1985 Program for Advancement of Commercial Technology (PACT) Project is the keystone of activities in this sector and should serve as the model for a private sector R&D approach in

future activities. This project's purpose is to develop a private sector R&D culture in India, a country where R&D is dominated by government operated institutions. The PACT will finance joint ventures between Indian and American firms for R&D in several development-related areas.

The Mission looks at the Housing Investement Guarantee (HIG) Program as something more than an effort to provide low cost housing. The HIG program can also be viewed as a mechanism by which markets for housing finance are developed by a private sector firm, the Housing Finance Development Corporation (HFDC). The Mission plans to follow up this HIG program with an examination of other entities to develop the private housing finance sector, adding an advisor in this area.

The Mission is developing a major PRE-supported effort to create an indigenous capacity to produce measles vaccine in India. This private sector activity with the Serum Institute of India will support our child survival objectives in the health sector.

The Mission is also developing a private institution-based project at the state level for the conduct research in technology development.

### 3. Impact

Those activities which could conceptually be placed in this "sector" such as agricultural research, bioimmunology, and population research are treated separately in other sections. Achievements against objectives in these areas, to the extent that they are observable, will not be repeated here. With a few exceptions the programmatic objectives of this sector are reflected in relatively new or anticipated activities and therefore have little measurable achievement associated with them. To the extent that it is possible to describe achievements associated with sectoral objectives these are as follows:

- successful organization of the PACT Council;
- agreement with the Department of Energy for a new project which will encompass interaction with the private sector;
- active engagement of key Indian financial institutions (IDBI), professional associations (AIEI) and commercial groups (Chamber of Commerce) in exploration of possibilities for positive relationships between the science establishment and industry.



#### IV. CDSS Analytical Agenda 1985-86

During the FY 1987 CDSS review, the Mission agreed to an analytical agenda which would clarify relevant Indian development issues or support future USAID program development. Over the past year however, changing circumstances have led either to the restatement/restructuring of some projected analyses and the elimination altogether of others. The following represents the status of this analytical agenda.

##### 1. Agricultural Production/Consumption

This report was submitted to AID by the consultants on November 15, 1985. The report addresses several critical issues, among them prospects for increased agricultural growth under conditions of continuing rapid increases in population.

##### 2. Evaluation of CLUSA/NDDB Oilseeds Project

This evaluation was completed in October 1985. Following the evaluation, the Mission decided to undertake a serious analysis of oilseeds development issues. Topics include an assessment of production technologies in the oilseeds sector, an analysis of the economic and regulatory environment from the viewpoint of processing firms and a comparative financial analysis of firms in the private and cooperative sectors. These studies will be completed by September 30, 1986.

##### 3. Nutrition Section Analysis

Planning for this analysis took longer than anticipated. However, the analysis is scheduled to begin in April 1986. The consultant is Robert Evansen of Yale University.

##### 4. Bihar Cooperative Development Concepts Paper

This activity was dropped from consideration.

##### 5. Chhatisgarh Activities Concept Paper

This activity was dropped from consideration.

##### 6. PL 480/MCH Upgrading Strategy for CARE

During the past year the Mission has been developing a Child Survival Initiative which further integrates PL 480 Title II with development assistance activities. Indeed, it is now planned that CARE as an organization will play a heightened role in this strategy through the mechanism of the ICDS program. Consequently, the concept of an upgrading strategy for CARE has been folded into a project development exercise which anticipates both dollar

assistance and Title II for ICDS activities which now represent about 75 percent of our Title II program. The PID and PP for this project will be submitted in FY 1987. Planning for Title II levels up to 1990 will remain within the levels agreed to in the CDSS review.

The outcome of this project development exercise will also, in large part, determine the complexion of Title II activities in India beyond 1990. It is our view at this time that the integrated program which we will be developing over the next two years may well serve as the model for a new generation of Title II assistance in India. In this context we wish to reexamine the question of maintaining or even increasing Title II resources for critical Food For Work activities to support an evolving effort in dryland/rainfed agricultural areas.

#### 7. Update of the Population Sector Assessment

USAID prepared an initial paper on population issues in India which was submitted to AID/W in the summer of 1985. This paper has been expanded and will be sent to AID/W this summer.

#### 8. Opportunities for Additional Private Sector Activities

A report on opportunities in the private sector was prepared in 1983. Within the framework of the report, we have emphasized the technology development-enterprise link in existing or planned activities (i.e. PACT, PRE-supported Serum Institute, Energy follow-on project, new states' activity, not to mention continued association with financial markets particularly housing). We plan to ask the original consultant to return to India this summer to update his report in view of recent liberalization measures.

#### 9. Irrigation Sector Assessment

The Mission's response to the Irrigation Sector Assessment will not come in a formal submission to AID/W. Rather, the Mission is dealing with the issues raised in the context of its evolving strategy in irrigated agriculture which includes a "restructuring" or reemphasis of certain elements in some existing surface irrigation projects and some new thinking on possible dryland/rainfed activities.

The issues are essentially threefold: economic (eg. the problem of low cost/benefit ratios in Deccan surface irrigation projects); management (e.g. need to reemphasize systems management including improvements in design standards and training); and water management below the outlet. We will be prepared to address these issues during Program Week.

V - PIDs and PPs, FY 1985

<u>Project No.</u>	<u>Title</u>		<u>Submission &amp; Approval Dates</u>
386-0492	Biomedical Research	(PP)	June 1985
386-0495	National Social Forestry	(PID) (PP)	March 1985 June 1985
386-0496	Program for the Advance- ment of Commercial Tech- nology (PACT)	(PP)	May 1985
386-0500	Contraceptive Development along with Family Planning (386-0485)	(PP)	March 1985

Project Preparation in FY's 1986 and 1987

FY 1986

The Mission plans to submit three PID's to AID/W for approval in FY 1986. These are: Child Survival Support/Health (386-0504), Energy Research and Enterprise (386-0494), and Support to Population Research Institutions (386-0509). The Mission also plans to submit the PP for Child Survival Support/Health (386-0504) to AID/W towards the end of FY 1986.

Three PP's will be approved within the Mission in late FY 1986: Energy Research and Enterprise (386-0494), Bio-Immunology and Diagnostics (VAP) (386-0503), and Support to Population Research Institutions (386-0509). The first two will be obligated in FY 1986 and the third in FY 1987.

The design load in FY 1986 is further intensified with subprojects under Agricultural Research (386-0470) in agrometeorology, plant germplasm preservation, integrated plant nutrition management, and on-farm water management. These activities will all be approved at Mission level.

FY 1987

One PID is scheduled for the first half of FY 1987: Child Survival Support-ICDS/CARE (386-0508). The Mission is currently approaching the pre-project concept paper stage in several other areas which may mature into PID's. These areas include future relationships deriving from the existing social forestry portfolio in Madhya Pradesh and Maharashtra; dryland agriculture including aspects of the oilseeds subsector and water management in drought-prone areas; agricultural education and research institutions; and technology enterprise at the state level. This is in keeping with a new mission project development procedure which involves the preparation of a pre-PID concept paper to be considered by a formally designated Mission Review Committee.

Also in FY 1987 the mission plans to prepare two PP's for approval: Forestry Research, Education, and Training (386-0488) will be approved at the mission level and Child Survival Support - ICDS/CARE (386-0508) will be approved in AID/W.

PID/PP SCHEDULE, FY 1986 - 1987  
(By Quarter)

	FY 1986				FY 1987			
	I	II	III	IV	I	II	III	IV
Energy Research and Enterprise								
Bio-Immunology (VAP)								
Child Survival Support/Health								
Forestry Research, Education and Training								
Child Survival Support ICDS/CARE								
Support to Population Research Institutions								

\*Mission authorization. Other PID's and PP's will be submitted to AID/W for authorization.

## VI. Evaluations

### A. FY 1985

In FY 1985 the Mission conducted five formal project evaluations. All were forwarded to AID/Washington in the fourth quarter of the fiscal year. The first three are projects in the Special Development Activities account. The last two involve the Mission's largest Food for Development activity (PL 480 Title II) and is also the Mission's largest agricultural project. They were:

- Alternative Energy Resources Development (386-0974).
- Technologies for the Rural Poor (386-0465).
- Development and Management Training (386-0487).
- CLUSA Operational Program Grant: Technical Assistance to NDDB's Oilseed Growers' Cooperative Project (386-2144).
- CLUSA/India Program Development and Support Grant (386-0000-C-00-3024-00).

### B. FY's 1986 and 1987

Looking at previous evaluations plans, the Mission came to recognize that they were often overambitious and were generally honored in the breach. The evaluation program, accordingly, has been refined to a more manageable, realistic projection. Two important forestry evaluations have already been completed in FY 1986:

- Madhya Pradesh Social Forestry (386-0475). This mid-project evaluation examined the institutional reorientation activities of the new Social Forestry Directorate at the state level.
- Maharashtra Social Forestry (386-0478). This mid-term evaluation assessed community participation in achieving project objectives.

The Mission also plans other mid-course evaluations in the latter half of FY 1986:

- Private Voluntary Organizations for Health (386-0469).
- Integrated Child Development Scheme (386-0476).
- Irrigation Management and Training (386-0484).
- CARE-supported ICDS food component.

Five other end-of-project evaluations are projected to start the second half of FY 1986:

- Rajasthan Medium Irrigation (386-0467).
- Gujarat Medium Irrigation (386-0464). Impact assessment.
- Integrated Rural Health and Population (386-0468). This will concentrate on a final evaluation of staff, management, and communications training.
- CLUSA's vegoil program in support of NDDB's OGCP and CLUSA/India local support OPG (OPG-386-3024).
- Maharashtra Minor Irrigation (386-0490).

The final evaluation scheduled for the FY 1986-87 period is the mid-term one of the Agricultural Research Project (386-0470) which is planned for the third and fourth quarters of FY 1987. It will review trends in technology transfer demonstrated by the sub-projects and assist in identifying additional subprojects.

LIST OF PLANNED EVALUATIONS

Project List (Project No. & Title)	Last Eval. Completed (Mo./Yr.)	FY 1986		FY 1987		Reasons Issues	Funding		USAID Person Days	Collateral Assistance
		Start (Qtr.)	To AID/W (Qtr.)	Start (Qtr.)	To AID/W (Qtr.)		Source	(\$000)		
<u>AGRICULTURE, RURAL DEVELOPMENT &amp; NUTRITION</u>										
386-0467 Rajasthan Med.Irrigation	4/83	3	4			PACD:6/86 End of project evaluation; Preparation of completion report.	-	-	44	Hiring 2 U.S. contract Consultants
386-0464 Gujarat Med.Irrigation		3	4			PACD:6/86 Retrospective evaluation reviewing project impacts.	ID&S	-	42	Hiring 3 U.S. contract consultants.
386-0470 Agriculture & Education Research				3	4	PACD:12/89 Project evaluation will: (i) review the trend in technology transfer exhibited by the on-going subprojects; and (ii) assist in identifying additional subproject research topics and determine in- cremental obligation requirements.	Project	30	88	Hiring of 2 U.S. contract consultants
386-0475 M. B. Social Forestry	11/83	1	2			PACD:3/87 Mid-term evaluation will: (i) assess success of institu- tional re-orientation activities within the Social Forestry Direct- orate (SOD) of the M.P. State Forest Department;	-	-	100	



Project List (Project No. & Title)	Last Eval. Completed (Mo./Yr.)	FY 1986		FY 1987		Reasons	Issues	Funding		USAID Person Days	Collateral Assistance
		Start (Qtr.)	To AID/W (Qtr.)	Start (Qtr.)	To AID/W (Qtr.)			Source	(\$000)		
386-0478 Mah. Social Forestry		1	2			PACD:9/90 Mid-term evaluation will: (1) assess progress in community participation in project and in developing management system hiring one U.S. contract consultant for 3 weeks.		OPG	10	100	(Funding of \$ 9,500 from project funds), arranged by Mission in collaboration with ASIA/IR.
<u>H-48C TITLE II</u>											
CIUSA's Vegoil Program in support of NDDB's OGCP, and CIUSA/India Local Support OPG (No. 3024)	6/83	4*		1		PACD:12/86 Final evaluation of CIUSA local support (ORR-386-3024).		OPG	93	30	Nine personweeks of 3 U.S. consultants
CARE - supported IODS program activities in India (excluding dollar-funded IODS activities)		2	3			Assessment of functioning of non-dollar supported IODS programs.		HDS	31	30	Eighteen personweeks of 3 U.S. consultants-one each from FVA/FFP, IQC and CARE/NY
396-0468 IRIP		4	4			PACD: Final Evaluation of Training, Management Training & Communication Training.		HDS	44	30	3 U.S. Consultants + 3 Indian Consultants 19 persons weeks total
386-0476 IODS		3	4			PACD: Mid-project		OPG Project	45	30	Twelve personweeks AID/W and Nutrition IQC.
386-0469 PVCH		4	4			PACD: Mid-project evaluation.		HDS			2 outside consultants.

VII - BENCHMARKS AND ATTAINMENTS DURING FY 1985-1986

<u>Bench Marks</u>	<u>Status/Comments</u>
<u>AGRICULTURAL MODERNIZATION</u>	
<u>Agricultural Research</u>	
1. Workplans for soybean-processing subproject approved.	Done. Over 50% of approved staff positions filled. Equipment list received from GOI and procurement underway.
2. Workplan for post-harvest technology (fruits and vegetables) approved).	Done. About 50% of approved staff. GOI has supplied equipment list and procurement underway.
3. Complete design of 3 animal science subprojects and approval of workplans.	General plans already completed. Specific subproject details under preparation.
4. RFP for management services contract issued and awarded.	Contract signed with Winrock International. Team in place in India and in U.S.
5. Undertake preparatory work with ICAR to initiate subprojects on integrated plant nutrient management and agrometeorology.	Discussions successful. Subproject designs nearly finished.
6. In-depth review of program to identify areas for accelerating implementation.	9-member team of Indian deans of agricultural schools made return visit to U.S. counterpart institutions. Future linkages look promising.
<u>Irrigated Agriculture</u>	
1. Redesign Rajasthan Medium Irrigation Project.	Minor adjustments made to substitute two medium schemes which allowed disbursement targets to be met.
2. Put in place the project implementation cells under the Hill Area Land and Water Development and Maharashtra Irrigation projects.	Project Cell for Hill Areas Land & Water Development Project established and Cell for Maharashtra projects being established.

<u>Bench Marks</u>	<u>Status/Comments</u>
3. Have contractors in place and begin activities under the Irrigation Management and Training Project.	U.S. Contractor initiated activities and Indian TA identified and contracting arrangements being made.
4. Submission of PID for Rajasthan Agriculture and Irrigation Development Project.	Decision on Rajasthan follow-on project postponed pending EOP Evaluation and Irrigated Agriculture strategy review.
5. Mid-term Evaluation of Madhya Pradesh Minor Irrigation Project.	Formal evaluation postponed until mid-1986. Intensive review and discussion between USAID and State irrigation department initiated and restructuring possibilities being examined.
6. Identify pilot projects under the Madhya Pradesh Minor Irrigation Scheme and complete implementation plans.	Two pilots identified and being implemented by state with University involvement.
7. Complete approximately 15 socio-economic baseline studies in irrigation sector program.	Completed 6 in Rajasthan, 6 in Maharashtra and 9 in Madhya Pradesh in design phase (total 21).
8. Develop approximate 40 training plans for the irrigation sector program.	Training plans for individual State projects completed or nearing completion (by end of March 1986).

#### Cooperative Development

1. Complete second major evaluation of CLUSA/NDDB project.	Done. Decision made to accelerate delivery of final tonnage and to investigate new project modalities after assessment of oilseeds subsector.
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#### RENEWABLE RESOURCES CONSERVATION AND DEVELOPMENT

##### Resource Management - Forestry

1. Form central forestry unit within the Ministry of Environment and Forests which initiates critical operations, research, seminars, and workshops to support state social forestry programs and develop policy guidance.	Sanctioned by Prime Minister on 2/24/86. Positions to be filled in early FY 1987.
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<u>Bench Marks</u>	<u>Status/Comments</u>
2. Double the number of panchayats in six districts undertaking AID-assisted social forestry projects with participatory emphasis in management of community woodlots.	Maharashtra Social Forestry Project has identified 45 villages where panchayats will immediately assume wood lot management responsibilities. Their experience will be carefully followed and evaluated.
3. Increase the numbers of medium, small, and marginal farmers planting and protecting seedlings.	Happening in almost all AID-assisted states largely through decentralization of nurseries. A lot more can be done.
4. Identification of up to 1,000 of landless households to participate in "tree tenure" schemes in three States.	"Tree tenure" schemes are included in 3 of the 4 states assisted under the National Social Forestry Project operational now for one year. Numbers not yet available but some households have been identified.
5. AID collaborating with GOI and other interested donors in detailed design of GOI forestry research and education subsector programs for 7th Five-Year Plan period.	Forestry manpower assessment study, SAU Forestry Curriculum, etc., completed. IBRD/AID/SIDA/ODA joint team now to come in June 1986 to work on detailed 15-year action plan with new ICFR. Plan will include detailed design necessary to begin FRET PP design in late 1986.
6. Evaluation of Madhya Pradesh and Maharashtra Social Forestry Project.	Completed.
7. Submission of National Social Forestry Project paper to AID/W and obligation of project.	Completed.

#### POPULATION CONTROL AND HEALTH IMPROVEMENT

##### - Integrated Rural Health and Population

1. Pilot introduction of measles vaccine in 7 demonstration areas.	Successful pilot measles immunization activities done in 8 districts of three states.
2. Completion of plan for redesign and refocus of project on oral rehydration, immunization, and child spacing.	PRITECH team completed report outlining recommended child survival activities to be carried out.

<u>Bench Marks</u>	<u>Status/Comments</u>
3. Completion of all infrastructure development in project. Shift in focus to improved delivery of key child survival interventions.	Over 90% of construction completed. IRHP states implementing demonstration activities based on PRITECH recommendations.
<u>- Integrated Child Development Services</u>	
1. 3 Laboratories for maternal infection studies established.	5 laboratories being established. 4 Indian investigators trained in U.S. and equipment ordered.
2. Performance standards for workers and instructions developed. Nutritional and Health Education - Development materials distributed to anganwadies by state clearing houses. Syllabic revised.	Private Indian market research organization, with TA from Manoff International doing formative research for designing multimedia NHED campaign. JSI advisors have begun work on syllabi, but local counterpart not yet identified.
3. All villages identified, anganwadi workers recruited, and buildings donated, revised syllabic and performance standards in use in all training centers and ICDS blocks.	All villages in both districts identified. Of 3,844 child care centers planned, 3,141 (82%) functioning with workers in position.
4. Baseline impact evaluation survey reports completed.	Done.
<u>- Private Voluntary Organizations for Health</u>	
1. Approve 15-20 additional subprojects and commit most of the funds available for subgrants.	18 additional subprojects approved resulting in total of 22 subprojects approved worth \$10.5m equivalent.
2. Training workshop for managers of the subprojects.	Implemented at the National Institute of Health and Family Welfare.
<u>- Biomedical Research Support</u>	
1. Strategy and specific plan developed for collaboration between U.S. Centers for Disease control and India's National Center for Disease Control to strengthen national and state capacity in field epidemiology and rapid diagnostic technology.	Consultants from CDC and NICD staff developed plans to strengthen national and state capability in field epidemiology and laboratory development.

<u>Bench Marks</u>	<u>Status/Comments</u>
2. Submission of PP to AID/W and obligation of funds.	PP approved and \$4.4 million obligated July 1985.
<u>- Fertility Reduction and Demographic Intelligence</u>	
1. Continue support to CMO to help triple use of reversible contraception.	GOI wants to renegotiate CMO component of Family Planning Communications and Marketing project. Discussions center around more automoney to contraceptive marketing board and private commercial agencies.
2. Provide long-term terchnical and training support for India's office of the Registrar General.	Registrar General went to U.S. to prepare technical workplan with BUCEN and East-West Population Institute.
3. Reach agreement with ICMR and DST for research on contraceptive technology.	Agreement signed. 2 scientists trained in U.S. Workshop held by U.S. scientists at National Institute of Immunology. Equipment on order.
4. Monitor demographic analysis at National Council for Applied Economic Research.	Data collected and currently being processed by computer. Analysis to come.
5. Train 2 or 3 Indian institutions to prepare computer simulations of population and development inter-relationship.	International Institute of Population Studies, National Institute of Health and Family Welfare, and evaluation wing of Ministry for Health and Family Welfare selected. Proposal prepared. No activities yet.
6. Information, Education Communication component of FCPM Project to train 40,000 workers in 4 states.	Plan prepared and workshop scheduled for April. Delay due to complications surrounding CMO component.
7. Association for Voluntary Surgical Contraception to create 4 centers of excellence for micro-surgery.	Program cleared by GOI. To start forthwith.

#### RESEARCH AND TECHNOLOGY DEVELOPMENT

1. Program for the advancement of commercial Technology project developed.	Approved and funded.
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VIII - BENCH MARKS AND PLANS FOR FY 1986-88

In discussing future benchmarks and achievements, we are no longer presenting them on a project basis. Under the three basic groupings of the program there are four basic categories of benchmarks: Sectoral Assessments/Program Development, Evaluations, Project Design/Redesign, Implementation/Project benchmarks. Not all categories will apply to each of the three program groupings.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
<u>AGRICULTURAL RESOURCES MANAGEMENT</u>		
<u>Sectoral Assessments/Program Development</u>		
- Assess project modalities and subsector requirements in oilseeds development...	1986-87	USAID currently conducting preliminary studies in preparation for full analysis of subproject and decision whether to design a major dollar-funded follow-on project to Title II OGCP project.
- Agricultural Technology Review	1987	Assess current public and private systems for generating agricultural modernization; broader than what ICAR and state research systems are doing.
<u>Evaluation</u>		
- Mid-term evaluation of Agricultural Research project	1986-87	Management review. Lessons learned will factor into Agricultural Technology Review noted above.
- Initial evaluation of Irrigation & Management Training Project.	1986-87	TA in place in 1986 and specific work plans under preparation. Evaluation in 1987.
- Evaluation of Maharashtra Irrigation Technology & Management Project.	1986	Internal review process completed. New emphasis on accelerated project completion and irrigation delivery formalized in PIL No. 14.
- Evaluation of Rajasthan Medium Irrigation.	1986-87	End-of-project.
- Evaluation of Gujarat Medium Irrigation.	1986-87	Impact Assessment.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- Evaluation of Maharashtra Minor Irrigation.	1986-87	End-of-project.
- State level social forestry monitoring and evaluation divisions fully staffed and operational.	1987	Continuing.

Project Design/Redesign

- Four additional subprojects designed in Agricultural Research	1986	Integrated Nutrient Management on Multiple Cropping Systems; Plant Germplasm Preservation; Agro-forestry; Plant Tissue Culture.
- Complete designs of all remaining subprojects.	1987	4 subprojects remain.
- Develop activity focusing on conjunctive or direct use of groundwater largely through private and quasi-public arrangements including credit mechanisms.	1987	Concept possibility.
- Madhya Pradesh Social Forestry.	1987	Major corrections anticipated on basis of recent evaluation.
- Agroforestry Research Sub-project design finalized (under existing Agricultural Research Project).	1986	Being designed.
- Maharashtra Minor Irrigation.	1987	
- Madhya Pradesh Minor Irrigation	1986	
- Concept Paper on AID support for forestry education in Indian state agricultural universities prepared.	1987	Activity already under discussion with ICAR.
- FRET Project Paper approved and project agreement executed.	1987	



<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- Concept paper: water management and development in drought-prone areas.	1987	Refinement of former "Eastern India" regional thrust.
<u>Implementation/Project Benchmarks</u>		
- Soybean-processing sub-project implemented.	1986	Management team and trainees to U.S. Commodities received.
- Post-harvest technology (fruits and vegetables) subproject implemented.	1986	Management team and first group of trainees go to U.S. Commodities received.
- All Agricultural Research subprojects under implementation.	1987	14 total.
- Organization on a pilot basis in at least one state of water user associations to manage operation and maintenance of specific project sub-systems.	1986-87	Major focus on farmer involvement taking place in Rajasthan and in Himachal Pradesh. Also a study on farmers involvement in Maharashtra IT&M is underway.
- Development and utilization in four states of key technical improvements in the design of irrigation systems.	1986-87	Govt. of Maharashtra has uniformly adopted recommended package of design criteria for all medium projects. Same in Rajasthan.
- Establishment at the Center and 5 states of mechanisms for transfer of lessons learned between the states.	1986-87	Cell at Centre established and State Technical Councils exist in 5 States. Assistance programmed for these units.
- Establishment of a river basin planning training program at the Center for country-wide activities.	1986-87	TA contract currently under review. Contractors soon to be engaged.
- Adoption of multi-disciplinary approach to analyze water management problems in the curriculum development in three states.	1986-87	Assistance being provided to 3 universities as well as to 5 Water & Land Management Institutes to strengthen multi-disciplinary water management curriculum.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- Involvement of private contractor for planning and design of irrigation systems in at least one state where such activities are traditionally carried out by a Government Irrigation Department.	1986-87	Regular use of private contractors taking place in Maharashtra and Rajasthan as result of USAID involvement.
- Obtain results of the studies concerning appropriate budget levels for operation and maintenance of irrigation systems and corresponding levels of water charges.	1986-87	Studies are being formulated and contracted by Irrigated Agriculture office.
- Management of distribution and maintenance of irrigation subsystems by farmer's or water user organizations in at least one state.	1986-87	Activity being planned for under E.A. Areas Land and Water Development Project in Himachal Pradesh.
- Establishment of organizational set-ups in five states to impart professional development training in specialized irrigation related disciplines.	1987	Strengthening of 5 USAID assisted and 5 World Bank assisted State Training Institutes is underway.
- Strengthen inter-disciplinary planning and design and implementation linkages and procedures among Irrigation, Agriculture and Allied Institutions in at least two states.	1987-88	
- Conduct institutional and manpower development assessments in five states in order to plan medium term professional development activities needed for improving irrigated agriculture performance.	1987-88	

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- Expansion of seedling distribution activities through increased farmer draw on project-supported social forestry nurseries.	1986	Will happen every year through 1989 as result of emphasis given to seedling distribution/farm forestry intervention in NSFP. Also is corresponding increased seedling distribution components in projects in Madhya Pradesh and Maharashtra.
- Selected village panchayats managing distribution of earlier benefits (grass & leaf fodder) from village forests.	1986	This is a continuing concern on in all 6 states. Best case to date is Maharashtra, where as 45 panchayats have come forward and will try to do it all as of now. Problems remain in Madhya Pradesh.
- Long-term US technical support contractor for forestry extension and community management begins work in New Delhi.	1986	Under recruitment.
- Long-term US technical support contractor for social forestry monitoring and evaluation begins work in New Delhi.	1986	Under recruitment.
- Thirty Indian state agricultural university forestry faculty members sent on one-year fellowships to U.S. forestry schools.	1986	First 12 to go May 86, remainder in Sept. 86.
- Joint IBRD/AID/ODA/SIDA team prepares 15-year action plan for Indian forestry research, education and training with new ICFR.	1986	Planned for June.
- GOI Central Unit for social forestry and monitoring created.	1987	Sanctioned. Post to be filled in early 1987.
- Indian Council for Forestry Research and Education organized.	1987	On schedule. Staffing will follow.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
<u>HEALTH IMPROVEMENT AND POPULATION CONTROL</u>		
<u>Public Health Institutions</u>		
<u>Sectoral Assessments/Program Development</u>		
- Technical Assessment/Public Health	1987	Assessment of relevance and application of public health system and institutions to child survival (to include assessment of research opportunity.)
<u>Evaluation</u>		
<u>Project Design/Redesign</u>		
- Identification by joint Indo-U.S. collaborators of priorities in vaccine development, testing, and field trials. Approve Bio-immunology Project paper	1986	Related to Vaccine Action Program. GOI is highly motivated towards rapid action.
- Serum Institute of India	1986	PRE approval of revolving fund required.
<u>Implementation/Project Benchmarks</u>		
- Sign agreement with WHO for provision of TA from Centers for Disease Control.	1986	Negotiations nearing completion.
- Finalize PASA with Food & Drug Administration for Quality Control of Biologicals.	1986	Proceeding.
- Identify participating medical faculties for clinical epidemiology component.	1986	Rockefeller team currently in India for this purpose.
- develop work plans for field epidemiology training & laboratory.	1986-77	TA advisor already identified.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- Approval of plan for establishment of national quality control for biologicals.	1987	
- Institutional linkages in place between CDC and India's NICD to strengthen capacity in epidemiology & laboratory support.	1986-87	Three resident CDC advisors will be in place. Laboratory assistance underway and equipment under procurement.
- Development of prototype management information system for national malaria eradication program.	1987-88	Remains in project. Uncertain if it will happen.
- Three clinical epidemiology cells functioning in 3 faculties of medicine.	1987-88	Faculty members return from overseas training and set up cells.

Child Survival

Sectoral Assessments/Program Development

- Nutrition Sector Assessment. 1986-87 Scheduled April 1986.

Evaluations

- ICDS Mid-term evaluation 1987
- Complete IRHP training evaluation. 1986 Scope of work prepared.
- Conduct PVOH mid-project impact evaluation. 1986 Planned late in FY.

Project Design/Redesign

- Concept paper and program development for Child Survival Support - CARE/ICDS. 1987 Complementary funding for ICDS follow-on implemented in conjunction with grant to CARE to provide essential support to health system in all ICDS blocks in 8 states where CARE will supply food.
- PP approved. 1986 Child Survival Support/Health project under preparation.
- Project paper. 1987 Child Survival Support-ICDS/CARE.

Implementation/Project Benchmarks

- Monitor IRHP construction, training, and innovative activities until PACD. 1986 On-going.
- Initiate IRHP project closeout procedures, process remaining reimbursement claims, and deobligate balance. 1987 Closeout arrangements now under discussion with GOI and States.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- RFP for TA contract issued.	1986	Child Survival Support/Health.
- Annual workplans prepared for each state's activities.	1986-87	Considering 3 states.
- Selection of TA contractor.	1987	Anticipate 1 contractor with sub-contractors; perhaps consortium.
- Universal Immunization program expands from 30 to 90 districts.	1987	Plan to reach all 450 districts in 5 years.
- National ORT program initiated in 5 states.	1987	GOI will begin on phased basis. 4 IRHP states plus Tamil Nadu.
- All planned anganwadi's functioning.	1986-87	ICDS coverage of 2 districts and 3,844 villages completed.
- Improved training and health education and management information systems in place.	1986-87	Mobile in-service training conducted. 6242 functionaries trained. ICDS.
- Multimedia NEED campaign conducted.	1986-87	Local private sector and agency designing campaign based on format. research in 2 blocks. ICDS.
- Micro computers installed & staff trained at Department of Women's Welfare of Ministry of Human Resource Development.	1986-87	Training for 25 persons in computerized statistical analysis and systems development. ICDS.
- Hold workshop to train PVCH subgrantee managers in financing and management of health services.	1986	Second workshop planned for late in FY .
- Approve eight more PVCH sub-projects and allocate balance of funds to subgrantees.	1986	Process for identification of sub-projects streamlined and progress has been accelerating 3 to 5 large subgrants in pipeline.

Fertility Reduction and Demographic Intelligence

Sectoral Assessment/Program Development

- |                                  |      |  |
|----------------------------------|------|--|
| - Population Strategy Assessment | 1986 | Discussion of the population scene in India: prospects, problems, and programmatic implications. |
|----------------------------------|------|--|

Project Design/Redesign

- |  |         |   |
|--|---------|---|
| - Population Research Center project proposal. | 1986-87 | Determine number and location of centers and nature of support. Determine mode of administering activities. |
|--|---------|---|

Implementation/Project Benchmarks

- |   |         |   |
|---|---------|---|
| - Development of data on demographic trends and differentials for all India sample.     | 1986-87 | Processing and analysis of data delayed due to production problems. Consultant coming from abroad to help.        |
| - Initiation of research on new contraceptive methods especially immuno-contraception   | 1986-87 | Workshop held in coordination with U.S. institutions and National Institute of Immunology. Train 5 people in U.S. |
| - Short-term training for Registrar-General staff. TA for data collection and analysis. | 1986-87 | Preparation of final workplans. TA from BuCen and East-West Population Institute provided.                        |
| - Train under IEC 4500 workers in 3 districts in 4 states.                              | 1987    | Planning already approved and preparations underway.  |
| - Contraceptive Marketing Organization.   | 1986    | Board to be established, but uncertainty remains as to its relationship with/autonomy from Ministry.              |



<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
<u>RESEARCH AND TECHNOLOGY</u>		
<u>Sectoral Assessment/Program Development</u>		
- Reconnaissance survey	1986	4-5 Social centers covered for state level technology development.
- Survey of relationship among science, technology, and development.	1986-87	G. Ranis of Yale to lead. To provide analytical basis for Missions R and T Strategy development.
<u>Evaluations</u>		
- Assessment of Research and Technology Initiative.	1986-87	
<u>Project Design/Redesign</u>		
- Preparation of concept paper and submission of PID to AID/W.	1986	Previously identified as Science and Technology Development Project.
- Preparation of Energy Networking and obligation.	1986	Formerly alternative Energy Resources Development II.
<u>Implementation/Project Benchmarks</u>		
- PACT services contractor on board. First meeting of joint council.	1986	
- Effective promotion mechanism for Indo-U.S. joint venture.	1986	Established in India and in U.S.
- Workshops held in India on experience of other countries in building technology development capability.	1986	Fourth quarter FY 86.
- Indo-U.S. joint ventures operating in industrial R&D.	1987-88	10 subprojects anticipated.

<u>Bench Marks</u>	<u>Plan/Year</u>	<u>Comments</u>
- Completion of biomass conversion subprojects.	1986	Final 3 will be completed
- Initiation of 3 biomass production and conversion subprojects.	1986-87	Seeking contractual mechanisms.
- Energy conservation workshops conducted.	1986	1 already completed and 3 are scheduled.
- Completion of coal conversion subprojects.	1986	1 completed and 3 will be completed.
- Support to GOI's Solar Thermal Energy Center.	1987-88	U.S. short-term TA, training, and some commodities.
- Implementation of subprojects.	1987-88	Anticipate 3 subprojects.
- Commissioning of Decentralized Solar Energy System.	1986	IPL/BHEL/CEL subproject virtually completed.
- Commissioning of Solar Steam Generation Plant.	1986	Houston/IIS and Bangalore subproject to be completed summer FY 1986
- Wider demonstration of portable dryer in Tamil Nadu.	1987	GOI has allocated central funds for state-wide demonstrations.
- Commissioning of 2 mini-hydro systems.	1986	Both are currently in operation.

IX. PL 480

FFD in collaboration with the Volags has been challenged to consolidate and prioritize within the India Food Aid program in the face of dwindling resources. MCH has become the primary focus of CARE and CRS.

CARE, in consort with the GOI, has consolidated its ICDS program to eight states (from 14) with increased beneficiary/district coverage. Both agencies have geared their programs to an integrated systems approach for supplying critical child survival interventions.

The Mission is in the early stages of devising a five year Child Survival Strategy encompassing several Mission projects and Title II resources. USAID is working with CARE to develop project initiatives for greater CARE involvement in long term strategy implementation beyond the traditional food delivery and monitoring role. In addition to PL 480 commodities, CARE will seek Child Survival money or another funding source for its expanded participation.

CRS/FFW is in the final stages of refining its Planning Monitoring and Evaluation system to assist in project selection which will benefit the neediest in the target communities. The Mission also is studying the role of FFW within the Agriculture sector strategy for further integration with other USAID initiatives.

The CLUSA project is awaiting authorization of the remaining 32,000 mt vegoil to complete 160,000 mt PL 480 Title II commitment. USAID is undertaking special studies within the oilseed sector to determine feasibility of continued USG assistance to the NDDB project outside the framework of direct Title II programming.

X. Gray Amendment

Prior to 1985 New Delhi's portfolio included almost no expatriate technical assistance or other inputs which could be supplied by Gray Amendment organizations. Since then there has been some shift in our program and in our relationship with the host government and expatriate technical assistance has been recognized as an important if still small part of our assistance. Consequently, in 1986 a Gray Amendment firm will be hired as a subcontractor under a large AID Technical Assistance contract for India. This subcontract amounts to \$1.72 million. Contrary to expectations, we were unable to execute this contract in 1985 as originally planned.

In 1986 we expect that approximately \$1.5 million of U.S. commodities will be procured through Gray Amendment procurement services firms.

In addition we have asked that Gray Amendment or 8(A) firms be considered for expatriate Technical Assistance under two irrigation projects. This TA may cost about \$1,750,000. It is possible that contracts for this TA could be executed late in FY 86 although procurement might not be completed until FY 1987.

1987

We have also estimated up to \$3,600,000 of commodities could be procured through Gray Amendment procurement services firms in FY 1987.

We are looking to more smaller design and other PD&S funded actions to be provided through Gray Amendment organizations in 1987 than in the past.

At this point we have not yet put any quantitative amounts on potential procurements under new activities such as Child Survival or our proposed new Energy activity. However, designers are being instructed to carefully weigh the opportunities in these new activities for USAID to contribute to Agency Gray Amendment Targets. We will also look to future commodity procurements to be put through, to the extent feasible, Gray Amendment firms.

USAID/INDIA

SUMMARY BUDGET TABLES

I. OPERATIONAL YEAR BUDGETS (\$000)

A. DEVELOPMENT ASSISTANCE (DA):

Functional Account & Project No. & Title	G/L O/N	OYB FY 1986	OYB FY 1987	Month of Obligation	
				FY 86	FY 87
FN--Agr., Rural Dev. & Nutrition					
0470, Agricultural Research	G/O	3,000	3,000	Apr.	Mar
0484, Irrigation Mgmt. & Training	G/O	6,500	5,000	Apr.	Mar
0488, Forestry Research, Edu. & Trg.	G/N	-	2,000	-	Apr
0488, Forestry Research, Edu. & Trg.	L/N	-	4,000	-	Apr
0489, Hill Areas Land & Water Dev.	L/O	24,000	5,000	Apr.	Mar
0495, National Social Forestry	G/O	1,800	1,000	Apr/Jun.	Apr
0495, National Social Forestry	L/O	14,900	15,600	Apr.	Mar
---- Hill Areas - II (Eastern Region)	G/N	-	2,000	-	Jun
---- Hill Areas - II (Eastern Region)	L/N	-	5,000	-	Jun
Sub-Total (FN):		<u>50,200</u>	<u>42,600</u>		
PN--Population Planning					
0509, Support to Pop. Res. Inst.	G/N	-	2,000	-	May
Sub-Total (PN):		<u>-</u>	<u>2,000</u>		
HE--Health					
0492, Biomedical Research	G/O	3,700	2,000	Apr.	Mar
0503, Bio-Immunology & Diagnostics	G/N	3,000	1,000	Jun.	Mar
0504, Child Survival Health Support	G/N	12,000	1,000	Jul.	Mar
0504, Child Survival Health Support	L/O	-	6,000	-	Mar
0508, Child Dev. Support/ICDS-CARE	G/N	-	2,000	-	Jul
0508, Child Dev. Support/ICDS-CARE	L/N	-	5,000	-	Jul
Sub-Total (HE):		<u>18,700</u>	<u>17,000</u>		
SD--Selected Dev. Activities					
0494, Energy Research & Enterprise	G/N	3,000	-	Jul.	-
0496, PACT	G/O	2,100	3,400	Apr.	Mar
0507, State Tech. Dev. & Enterprise	G/N	-	1,000	-	Jul
0507, State Tech. Dev. & Enterprise	L/N	-	5,000	-	Jul
Sub-Total (SD):		<u>5,100</u>	<u>9,400</u>		
Country Total (DA):			74,000	71,000	

B. <u>PL 480 TITLE II:</u>	<u>FY 1986</u>	<u>FY 1987</u>
Voluntary Agencies Program	<u>80,377</u>	<u>80,459</u>
C. <u>HOUSING GUARANTY</u>		
HDFC - Housing Guaranty	<u>15,000</u>	<u>-</u>

II. BUDGET PROJECTIONS, FY 1986-FY 1992

See attached tables, including a list of proposed new projects in each fiscal year.

These projections indicate 100% mortgage through FY 1989 on the basis of straightlined level of \$75.0 million each year with grant/loan split of 35:65 through FY 1992.

USAID/NEW DELHI  
GWS PROJECT PROJECTIONS FY 1986 / FY 1992 (in Million Dollars)

REVISED  
04/04/86

Project Title	Project No.	Loan/Grant	Int. Obliga.	For Cost	Through FY 1985	Estimated FY 1986	Proposed FY 1987	Planned FY 1988	Planned FY 1989	Planned FY 1990	Planned FY 1991	Planned FY 1992
Agricultural Research	0470	(G)	FY 83	20.0	14.0	3.0	3.0	-	-	-	-	-
Ag. Research & Education	0505	(G)	FY 88	10.0	-	-	-	2.0	1.0	1.4	3.6	2.0
Irrigation Management & Training	0484	(G)	FY 83	41.0	11.0	6.5	5.0	5.5	6.0	7.0	-	-
		(L)	FY 83	10.0	10.0	-	-	-	-	-	-	-
Hill Areas Land & Water Dev.	0489	(G)	FY 84	4.0	4.0	-	-	-	-	-	-	-
		(L)	FY 84	50.0	16.0	24.0	5.0	5.0	-	-	-	-
Hill Areas - II (Eastern Region)	--	(G)	FY 87	2.0	-	-	2.0	-	-	-	-	-
		(L)	FY 87	8.0	-	-	5.0	-	3.0	-	-	-
Maharashtra Minor Irrigation	0490	(G)	FY 84	4.0	4.0	-	-	-	-	-	-	-
		(L)	FY 84	46.0	46.0	-	-	-	-	-	-	-
National Social Forestry	0495	(G)	FY 85	6.5	2.2	1.8	1.0	1.5	-	-	-	-
		(L)	FY 85	77.0	16.4	14.9	15.6	15.0	15.1	-	-	-
National Social Forestry - II	0506	(G)	FY 88	3.0	-	-	-	1.0	1.0	1.0	-	-
		(L)	FY 88	27.0	-	-	-	7.0	5.9	9.0	5.1	-
Forestry Research, Educ. & Trg.	0488	(G)	FY 87	8.0	-	-	2.0	1.0	2.0	2.0	1.0	-
		(L)	FY 87	12.0	-	-	4.0	4.0	4.0	-	-	-
Family Planning Comm. & Mktg.	0485	(G)	FY 83	13.0	13.0	-	-	-	-	-	-	-
		(L)	FY 83	34.0	34.0	-	-	-	-	-	-	-
Contraceptive Dev./Reprod. Immuno.	0500	(G)	FY 85	4.0	1.0	-	-	1.0	1.0	1.0	-	-
Support to Pop. Research Inst.	0509	(G)	FY 87	6.0	-	-	2.0	1.0	2.0	1.0	-	-
Integrated Child Dev. Services	0476	(G)	FY 84	10.0	10.0	-	-	-	-	-	-	-
		(L)	FY 83	7.0	7.0	-	-	-	-	-	-	-
Biomedical Research Support	0492	(G)	FY 85	9.3	0.6	3.7	2.0	1.5	1.5	-	-	-
		(L)	FY 85	3.8	3.8	-	-	-	-	-	-	-
Bio-Immunology & Diagnostics	0503	(G)	FY 86	5.0	-	3.0	1.0	1.0	-	-	-	-
Child Survival Health Support	0504	(G)	FY 86	35.0	-	12.0*	1.0	3.0	4.0	4.0	5.0	6.0
		(L)	FY 87	30.0	-	-	6.0	10.0	14.0	-	-	-
Child Dev. Support/ICDS-CARE	0508	(G)	FY 87	5.0	-	-	2.0	1.0	1.0	1.0	-	-
		(L)	FY 87	35.0	-	-	5.0	8.0	7.0	10.0	5.0	-
Energy Research & Enterprise	0494	(G)	FY 86	15.0	-	3.0	-	2.9	3.0	2.1	4.0	-
Prog. for Advance. of Comm. Tech.	0496	(G)	FY 85	11.1	4.0	2.1	3.4	1.6	-	-	-	-
State Technology Dev. & Enterprise	0507	(G)	FY 87	5.0	-	-	1.0	1.0	1.0	2.0	-	-
		(L)	FY 87	5.0	-	-	5.0	-	-	-	-	-
S&T for Child Survival	--	(G)	FY 89	5.0	-	-	-	-	1.0	1.0	1.0	2.0
Development & Mgt. Training	0487	(G)	FY 82	11.2	6.2	-	-	1.0	1.5	1.5	1.0	-
UNPROGRAMMED:		(G)			-	-	-	-	-	1.0	10.4	16.0
UNPROGRAMMED:		(L)			-	-	-	-	-	30.0	30.9	49.0
TOTAL:					717.50	74.0	71.0	75.0	75.0	75.0	75.0	75.0
GRANTS					132.9	35.1	25.4	26.0	26.0	26.0	26.0	26.0
LOANS					584.6	38.9	45.6	49.0	49.0	49.0	49.0	49.0
			Grant (%)		(19%)	(47%)	(36%)	(35%)	(35%)	(35%)	(35%)	(35%)

PRN:4424B:

\* Total Actual Obligations FY 1978 through FY 1985.

\* Includes \$6.0 million of Child Survival Funds.

## OYB BUDGET PROJECTIONS- FY 1986 / FY 1992

04/04/86

## I. DA PROGRAM - GRANTS (\$ Million):

(A) On-going Projects:	LOP	FY 86	FY 87	FY 88	FY 89	FY 90	FY 91	FY 92
0470, Ag. Research - I	20.0	3.0	3.0	-	-	-	-	-
0484, Irrig. Mgt. & Trg.	41.0	6.5	5.0	5.5	6.0	7.0	-	-
0495, Nat'l Soc. Forestry	6.5	1.8	1.0	1.5	-	-	-	-
0500, Contracept. Dev./Repr. Imm. (Extn.)	4.0	-	-	1.0	1.0	1.0	-	-
0492, Biomedical Research	9.3	3.7	2.0	1.5	1.5	-	-	-
0496, PACT	11.1	2.1	3.4	1.6	-	-	-	-
0487, Dev. & Mgt. Trg. (Extn.)	11.2	-	-	1.0	1.5	1.5	1.0	-
(B) New Projects:								
0488, FRET	8.0	-	2.0	1.0	2.0	2.0	1.0	-
---- Hill Areas - II (Eastern Region)	2.0	-	2.0	-	-	-	-	-
0505, Ag. Research & Education	10.0	-	-	2.0	1.0	1.4	3.6	2.0
0506, Nat'l Social Forestry -II	3.0	-	-	1.0	1.0	1.0	-	-
0509, Support to Pop. Research Inst.	6.0	-	2.0	1.0	2.0	1.0	-	-
0503, Bio-Immunology & Diagnostics	5.0	3.0	1.0	1.0	-	-	-	-
0504, Child Survival Health Support	35.0	12.0*	1.0	3.0	4.0	4.0	5.0	6.0
0508, Child Dev. Support - ICDS/CARE	5.0	-	2.0	1.0	1.0	1.0	-	-
0494, Energy Res. & Enterprise	15.0	3.0	-	2.9	3.0	2.1	4.0	-
0507, State Tech. Dev. & Enterprise	5.0	-	1.0	1.0	1.0	2.0	-	-
---- S&T for Child Survival	5.0	-	-	-	1.0	1.0	1.0	2.0
UNPROGRAMMED:		-	-	-	-	1.0	10.4	16.0

TOTAL (GRANTS):	35.1	25.4	26.0	25.0	25.0	26.0	26.0
	(47%)	(36%)	(35%)	(35%)	(35%)	(35%)	(35%)

## II. DA PROGRAM - LOANS (\$ Million):

(A) On-going Projects:	LOP	FY 86	FY 87	FY 88	FY 89	FY 90	FY 91	FY 92
0489, Hill Areas	50.0	24.0	5.0	5.0	-	-	-	-
0495, Nat'l Soc. Forestry	77.0	14.9	15.6	15.0	15.1	-	-	-
(B) New Projects:								
0488, FRET	12.0	-	4.0	4.0	4.0	-	-	-
---- Hill Areas - II (Eastern Region)	8.0	-	5.0	-	3.0	-	-	-
0506, Nat'l Social Forestry -II	27.0	-	-	7.0	5.9	9.0	5.1	-
0504, Child Survival Health Support	39.0	-	6.0	10.0	14.0	-	-	-
0508, Child Dev. Support - ICDS/CARE	35.0	-	5.0	8.0	7.0	10.0	5.0	-
0507, State Tech. Dev. & Enterprise	5.0	-	5.0	-	-	-	-	-
UNPROGRAMMED:		-	-	-	-	30.0	38.9	49.0
TOTAL (LOANS):		38.9	45.6	49.0	49.0	49.0	49.0	49.0
GRAND TOTAL (OYB):		74.0	71.0	75.0	75.0	75.0	75.0	75.0

\* Includes \$6.0 million of Child Survival Funds.

Note: Levels for FY 86 and 87 per STATE 013760, 01/16/86; however, these levels have been adjusted to transfer \$1.0 million each year from the OYB to the "Mechanism". Levels for out-years (FY 88 - 92) are tentative.

PRO:44248



USAID/NEW DELHI

LIST OF PROPOSED NEW PROJECTS, FY 1986 - FY 1992

<u>New Projects</u>	<u>Proposed Funding Level - \$ Million</u>			
	<u>LOP</u>	<u>Grant</u>	<u>Loan</u>	<u>Obligation Span</u>
<u>FY 1986</u>				
Bio-Immunology & Diagnostics	5.0	5.0	-	FY 86-88
Child Survival Health Support	65.0	35.0	30.0	FY 86-92
Energy Research & Enterprise	15.0	15.0	-	FY 86-91
Total:	85.0	55.0	30.0	
<u>FY 1987</u>				
Forestry Res., Education & Trg.	20.0	8.0	12.0	FY 87-91
Hill Areas - II (Eastern Region)	10.0	2.0	8.0	FY 87-89
Support to Population Res. Inst.	6.0	6.0	-	FY 87-90
Child Dev. Support - ICDS/CARE	40.0	5.0	35.0	FY 87-91
State Tech. Dev. & Enterprise	10.0	5.0	5.0	FY 87-90
Total:	86.0	26.0	60.0	
<u>FY 1988</u>				
Ag. Research & Education	10.0	10.0	-	FY 88-92
National Social Forestry - II	30.0	3.0	27.0	FY 88-91
Contraceptive Development (Extn.)	3.0	3.0	-	FY 88-90
Dev. & Mgt. Training (Extn.)	5.0	5.0	-	FY 88-91
Total:	48.0	21.0	27.0	
<u>FY 1989</u>				
S&T for Child Survival	5.0	5.0	-	FY 89-92
Total:	5.0	5.0	-	
<u>FY 1990</u>				
Total:				

Note: No new project ideas envisioned beyond FY 1989 at this time.  
However, the following unprogrammed balances remain on the basis of straightlined level of \$75.0 million each year.

	<u>G/L</u>	<u>FY 88</u>	<u>FY 89</u>	<u>FY 90</u>	<u>FY 91</u>	<u>FY 92</u>
<u>UNPROGRAMMED</u>	G	-	-	1.0	10.4	16.0
<u>BALANCE:</u>	L	-	-	30.0	38.9	49.0
	TOTAL:	-	-	31.0	49.3	65.0

USAID/INDIA

WORKFORCE LEVELS: FY 1986 - FY 1987  
(AUTHORIZED POSITIONS)

Office	USDH		Resi. Hire FT/PPT		US/PSC		F JCC		IDI		PASA's		FNDH/FT		FNDH/PT		FN/PSC		Other O.E. Contract		TOTAL	
	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87	FY 86	FY 87
Director (D)	3	3	-	-	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4	4
Office of Asst. Director (Ashok) (AD/A)	1	1	-	-	-	-	-	-	-	-	-	-	3	3	-	-	1	1	-	-	5	5
Office of Program (PRO)	3	3	-	-	1	1	1	1	-	-	-	-	5	5	-	-	5	5	1	-	16	15
Office of Project Development (PD)	4	4	-	-	-	-	-	-	-	-	-	-	9	9	-	-	3	7	2	-	18	20
Office of the Controller (CO)	1	1	-	-	-	-	-	-	-	-	-	-	7	7	-	-	2	2	-	-	10	10
Office of Management (EXEC)	1	1	-	-	1	-	-	-	-	-	-	-	7	7	1	1	22	22	2	2	34	33
Office of Resource Management (RM)	2	2	-	-	-	-	1	1	-	-	-	-	1	1	1	1	4	4	-	-	9	9
Office of Irrigated Agriculture (IRRAG)	4	4	-	-	-	-	1	1	-	-	-	-	3	3	-	-	10	10	1	-	19	18
Office of Agricultural Research (AR/ID) and Institutional Development	2	2	-	-	-	-	1	1	-	-	-	-	2	2	-	-	2	3	-	-	7	8
Office of Population (POP)	1	1	-	-	-	-	1	1	-	-	-	-	1	1	-	-	2	2	-	-	5	5
Office of Health & Nutrition (HN)	3	3	-	-	-	-	-	-	-	-	-	-	2	2	-	-	10	10	-	-	15	15
Office of Technology Development (TDE) and Enterprise	1	1	-	-	1	-	1	1	-	-	-	-	2	2	-	-	2	2	-	-	7	6
Office of Food for Development (FFD)	2	2	-	-	-	-	-	-	-	-	-	-	8	8	-	-	4	4	1	-	15	14
Total:	28	28	-	-	4	2	6	6	-	-	-	-	50	50	2	2	67	72	7	2	164	162

Note: See explanation in Attachment "A".

USAID/INDIA

Attachment "A"

WORKFORCE LEVELS - FY 1986/FY 1987

<u>Category</u>	<u>FY 1986</u>				<u>FY 1987</u>			
	<u>Auth.</u>	<u>Filled</u>	<u>Selected</u>	<u>Vacant</u>	<u>Auth.</u>	<u>Filled</u>	<u>Selected</u>	<u>Vacant</u>
USDH	28	26	2	-	28	28	-	-
Resi. Hire FT/PPT	-	-	-	-	-	-	-	-
US/PSC	4	4	-	-	2	2	-	-
JCC	6	2	2	2	6	6	-	-
IDI	-	-	-	-	-	-	-	-
PASA	-	-	-	-	-	-	-	-
FNDH-FT	50	45	4	1	50	50	-	-
FNDH-PT	2	2	-	-	2	2	-	-
FN/PSC	67	46	12	9	72	72	-	-
Other O.E. Contr.								
US	5	2	1	2	2	2	-	-
FN	2	2	-	-	-	-	-	-
<b>TOTAL:</b>	<b>164</b>	<b>129</b>	<b>21</b>	<b>14</b>	<b>162</b>	<b>162</b>	<b>-</b>	<b>-</b>

Note: Excludes:

- centrally-funded, regionally-funded and program/project-funded contract technicians/consultants (e.g. PRITECH/JSI/Winrock, Louis Berger, Fred Reed)
- short-term spouses under purchase orders (e.g. secretaries).
- warehouse labor and guards under local institutional contract.

**ACTION PLAN : 1986, USAID INDIA**

**PD-AAX-411**

**1 OF 1 (24X)**

**INDIA**

**1986**

**ACTION PLAN**